

FINRA ARBITRATION Submission Agreement

In the Matter of the Arbitration Between

Name(s) of Claimant(s)

Richard R. Arispe
Kenneth W. Sears, III
Peggy E. Burke
Todd B. Burke
Jose J. Collado
Adela Christine Collado
Charles K. Colvin
C & C Erection Inc.
Nancy Gordon
et al

09-06655

Name(s) of Respondent(s)

Morgan Keegan & Company, Inc.

1. The undersigned parties ("parties") hereby submit the present matter in controversy, as set forth in the attached statement of claim, answers, and all related cross claims, counterclaims and/or third-party claims which may be asserted, to arbitration in accordance with the FINRA By-Laws, Rules, and Code of Arbitration Procedure.
2. The parties hereby state that they or their representative(s) have read the procedures and rules of FINRA relating to arbitration, and the parties agree to be bound by these procedures and rules.
3. The parties agree that in the event a hearing is necessary, such hearing shall be held at a time and place as may be designated by the Director of Arbitration or the arbitrator(s). The parties further agree and understand that the arbitration will be conducted in accordance with the FINRA Code of Arbitration Procedure.
4. The parties agree to abide by and perform any award(s) rendered pursuant to this Submission Agreement. The parties further agree that a judgment and any interest due thereon, may be entered upon such award(s) and, for these purposes, the parties hereby voluntarily consent to submit to the jurisdiction of any court of competent jurisdiction which may properly enter such judgment.

EXHIBIT

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5. The parties hereto have signed and acknowledged the foregoing Submission Agreement.

Terry R. Weiss V.P. / Associate Attorney 2/5/10
Morgan Keegan & Company, Inc. Date
State Capacity if other than individual (e.g., executor, trustee, corporate officer)

LC43A: SUBMISSION AGREEMENT
ldr: 02/09/2009

RECIPIENTS:

Terry R. Weiss, Esq., Morgan Keegan & Company, Inc.
Greenberg Traurig LLP, 3290 Northside Parkway, Suite 400, Atlanta, GA 30327
